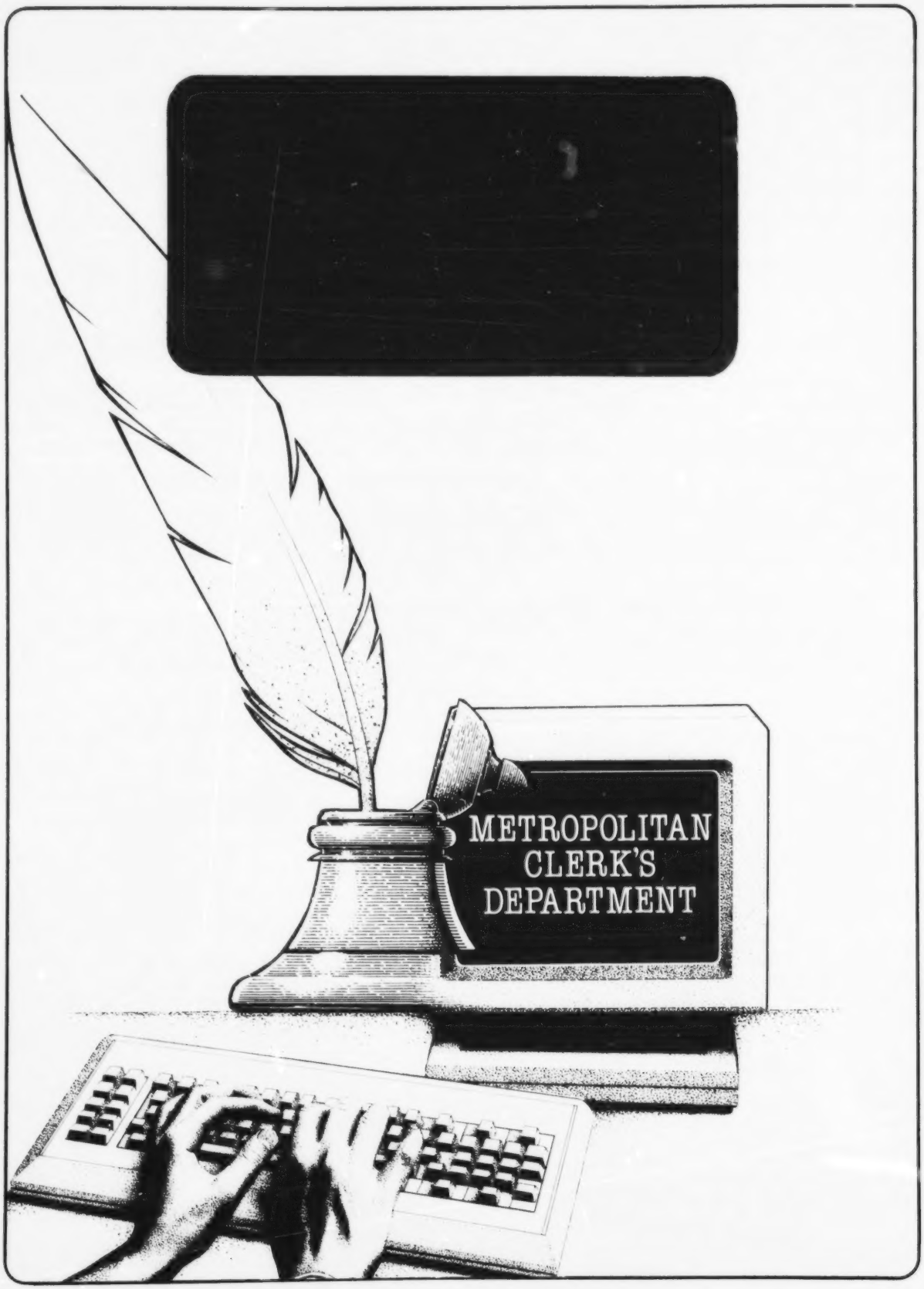
METROPOLITAN
CLERK'S
DEPARTMENT

Records Management For The 1990's

A Report On The

Status And Future Directions

For A Corporate Program

Final Report

September, 1989

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Records Management For The 1990's
A Report On The
Status And Future Directions
For A Corporate Program

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Appendices

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(2) Corporate Records Management Program and Support for Access and Privacy Legislation.

(3) Full Time Records Management Staff (Notes follow Appendix).

(4) Relative Impact on Productivity of All Staff Performing Basic Records Function.

(5) Amount of Shared Filing (Notes follow Appendix).

5.1 Average Filing Space/File Space Growth Projections.

(6) Filing Equipment - Amount and Type.

(7) File Estimates.

(8) Automated Records Management System Schematic.

(9) Records Management Automation - detailed Costs.

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Recommendations:

It is recommended that:

(1) The following Records Management policy objective and statement be adopted:

(a) Policy Objective:

The objective of the Records Management policy is to ensure the cost effective and co-ordinated management of the information holdings of the Metropolitan Corporation.

(b) Policy Statement:

It is the policy of the Metropolitan Corporation to:

(I) manage all information holdings as a corporate resource to support effective decision-making, meet operational requirements and protect the legal, financial and other interests of the Metropolitan Corporation and the public;

(II) make the widest possible use of information within the Metropolitan Corporation by ensuring that it is organized to facilitate access by those who require it, subject to legal and policy constraints;

(III) reduce response burden on the public by eliminating unnecessary collection of information; and

(IV) identify and conserve information holdings that serve to construct the evolution of policy and program decisions or have historical or archival importance and to ensure that such information is organized in a manner to be readily available for the study of decision-making in government and other educational purposes which explain the historical role of the Metropolitan Corporation in Canadian society.

(2) the mandate of the Metropolitan Clerk's Department, Records and Archives Division include the design, implementation, monitoring and revision

when required of a program for the creation, use, retention, disposal and preservation of records generated by the Metropolitan Corporation;

(3) the programs and objectives described in this report be adopted in principle;

(4) three temporary Records Analyst positions in the Clerk's Department be considered for conversion to establishment positions in the 1990 spring window;.

(5) two temporary Records Analyst positions in the Community Services Department be considered for conversion to establishment positions in the 1990 spring window;

(6) the concept of central departmental filing systems be adopted for implementation in Metro Hall;

(7) subject to the 1990 operating budget review process, the following funds be made available in the Records and Archives appropriation to hire temporary staff to implement a work schedule to prepare for central departmental files in Metro Hall.

   (a) $68,970 to reduce the backlog of inactive records in departmental filing system;

   (b) $73,300 to assist in the conversion of outdated filing systems; and

   (c) $73,300 to maintain converted systems;

(8) in preparation for moving to Metro Hall the work plan in Appendix 11 be approved in principle subject to the annual operating budget review process in 1990 and subsequent years;

(9) the Director of Records and Metropolitan Archivist report further on the status and priorities of the archives function; and

(10) the appropriate Metropolitan officials be authorized to give effect to these recommendations.

Executive Summary:

Since its inception in 1953, Metropolitan government has undergone significant change, including an increase in the number of staff. By the early 1980's the strain on records systems was evident.

Through to the mid 1980's records systems studies, both external and internal, led to some improvements in record keeping. A decision was made to integrate a Records Management and Archives program and to construct the new $10,087 thousand Metropolitan Toronto Archives and Records Centre. During the 1989 budget process this amount was increased by $1600 thousand for a computerized records management support system for which specifications are being developed prior to tendering.

The objective behind the numerous studies, activities and planning to date is to establish an efficient, service oriented records system that will provide needed information for decision makers and program delivery. It must also satisfy legislative requirements of the Municipal Freedom of Information and Protection of Privacy Act, 1989.

Studies completed in late 1988, for Metro Hall space planning, have brought to light the magnitude of Metro's paperburden, measurable in miles, its 67 categories of filing equipment from numerous manufacturers and over 4.6 million pieces of mail annually. If recommendations are adopted, file space requested by departments moving into Metro Hall can be reduced from one floor to one third of a floor, a gross annual saving of approximately $549 thousand. Failure to improve records management could result in an up to 65 per cent. increase in filing space requirements by 1997 with related costs in equipment and supplies.

A number of studies by staff specialists and external consultants have identified twelve significant problems and corrective action is described in the report. Fundamental to improving the records management function are

five core elements which when implemented result in an information service supporting staff in headquarters functions. These central elements are:

- the Archives and Records Centre facility and services;
- a computerized records management support system;
- centralized and coordinated control of all records;
- resources for records management services; and,
- an information management planning process.

The report identifies eight benefits from computer-assisted records management and then describes an automation plan for implementing such a system. A full range of records management functionality will be available to meet departmental needs. The core of the system will be centralized data-base architecture with extensive communications capability to a range of departmental systems with the ability to upload and download data to form a corporate information hub. Smaller departments can utilize the central system in the partitioned database structure.

The staffing requirements are reviewed in the context of central file systems in Metro Hall; a plan and cost to remove inactive files from offices is established; and a schedule of work is provided to prepare to move records systems into Metro Hall in conjunction with automation and centralization.

In summary, if adopted and implemented, the proposed initiatives will result in a corporate records system which is:

- highly space and equipment efficient in Metro Hall's planned central file rooms;
- responsive to staff information requirements through the use of computer assisted records management searches and file and document management functions;
- capable of delivering a file from a department's file room in Metro Hall to any user in less than 15 minutes by use of a guided track conveyor system;

- staffed by trained and committed employees dedicated to providing needed services to users;
- integrated with the Archives and Records Centre for storage and retrieval of inactive and archival records;
- capable of supporting the information management requirements of the Municipal Freedom of Information and Protection of Privacy Act; and
- providing data on the information function for management review and planning.

Background:

In its first quarter century, Metro grew to a large complex municipality from a fledgling government with many of its assets, staff and services acquired from the thirteen founding municipalities. By the end of its second decade, systems created in the early years were unwieldy and needed revamping. Problems related to the increasing size of Metropolitan Departments were compounded by the decentralized and relatively autonomous administrative systems. One noticeable problem was in the area of records management where corrective action required further investigation.

In December 1982, Woods Gordon reported their findings from a major study on the Metropolitan Corporation's records management activities. Woods Gordon found that the Corporation lacked established guidelines for creation, processing, storage and control of records. As a result a pilot project commenced in the Roads and Traffic Department. This approach led to a series of departmental studies which are ongoing.

In 1984, Robert Woadden Associates, specialists in records management and archives, reviewed the progress on records management and recommended a number of changes. These included a transfer of responsibility to the Clerk's Department and the development of an integrated records management and archives function which would service the corporation and the public from an Archives and Records Centre facility.

In 1986, the firm, Zeidler Roberts Partnership Architects, was engaged to undertake a feasibility study and concept design for an Archives and Records Centre. Over the succeeding two years, the project moved to completion of detailed specifications and drawings.

In June 1988, demolition was completed of existing structures at the chosen site (255 Spadina Road, south of Davenport Road). A construction contract

was tendered and subsequently awarded by Council at its meeting of September 27, 1988. The building will be available for occupancy in 1990.

During 1988, Lederman & Associates Limited, an information management consulting firm, was engaged to review the automation requirements to support the operations of the Archives and Records Centre and the records and archives function of Corporate departments. Also, in the fall of 1988, staff of the Records and Archives Division undertook a detailed inventory of records management space requirements for Metro Hall planning purposes. This latter study reviewed every piece of filing equipment used by more than one employee. These two studies identified problems which must be addressed to ensure the efficient integration of both the Archives and Records Centre and Metro Hall. With the benefit of various consultants' reports, discussions with staff, numerous departmental records systems studies and Metro Hall space planning, we now have a relatively comprehensive view of current records management practices in the Corporation - strengths and weaknesses. The latter are summarized below in the section on Records Management status. This knowledge provides the basis for identifying the strategic directions for records management and the associated costs.

Comments:

PROGRAM OBJECTIVES

Effective Records Management is more than just cost savings in equipment and space. It is more than a filing system and attractively labeled files. A Records Management system is a management plan for the creation, use, retention, disposal and preservation of primary information resources. A schematic description is provided in Appendix 1.

The central objective of the Records Management program is the efficient location and retrieval of information required for government decision-making and delivery of public services. Related aims include:

- reduced duplicate information;
- increased sharing of information;
- reduced office space requirements for files;
- improved file and document control;
- protection of confidential and vital information;
- controlled destruction of superseded information;
- support for access and privacy functions; and
- preservation of our recorded heritage.

These objectives are achieved by managing recorded information as a continuum. This is undertaken in the context of various information technologies and media that must be coordinated and integrated for corporate decisions and management functions. The relationship between departmental and corporate responsibilities is identified in Appendix 2.

The key element of a records management program is service to information users.

Records Management
A Service Delivery Model

Information Management Activity	Purpose
receive/create/collect	control, link records to files, approvals, contracts, et cetera.
classify/index	utilize logical framework to control, describe and link information.
schedule	authorize and implement retention periods - active, semi-active, inactive, archival, destroy.
maintain/use	for government and public, subject to legislative restrictions.

CURRENT RECORDS MANAGEMENT STATUS

Metro's Paperburden

In the fall of 1988, staff of the Records and Archives Division, assisted by some departmental staff reviewed the contents of every file cabinet used by more than one individual. Over 1200 pieces of equipment were scrutinized for type, condition and general usage. Few organizations have received this close scrutiny and the data gathered is comprehensive and accurate. It provides an insight into the administrative activities of Metro and will be important for Metro Hall planning and continuing improvements to records systems. As base data, it provides a reference point for verification of management decisions and planning. A report on the range of equipment, found in Appendix 6 identifies 67 types/heights of equipment from numerous manufacturers. The number and diversity of equipment and the projected annual office space filing costs ranging from $2.30 to $12.16 per file inch indicate the need to standardize and control the purchase of file equipment.

The paperburden of Corporate Departments is directly related to Metro's size and the complexity of its decentralized structure. A detailed review (the results of which are in Appendix 5) established that the approximately 2000 employees moving to Metro Hall currently have 3 1/2 miles of shared file space, (existing equipment capacity), 16 percent of which is not utilized. Appendix 5.1 indicates that shared filing per employee ranges from one box of files to a six-shelf cabinet; and, if no action is taken, may increase by up to 65 percent by 1997.

Within the Metro Hall context, adequately staffed records systems with planned automated support can reduce the space requested for active files by approximately 66 percent with conversion to centralized high density storage. Thus Metro Hall space and equipment as well as the Archives and

Records Centre would be used more efficiently. In addition, non-quantifiable productivity gains can be achieved which increase the value of Metro's information resources.

The impact of duplication and decentralization is evidenced; for example, (Appendix 5) by the storage of almost 1/2 mile of binders, reports and brochures and by the high volume of active material in the Treasury Department. In the latter example documentation on more than 214,000 vouchers is duplicated extensively in departmental accounting systems. Thus, the approximately 1/4 mile of voucher documentation in the Treasury Department's accounting system represents a 1/2 mile extent corporately. This is an annual not a cumulative quantity which further impacts on space utilization in the Archives and Records Centre.

The 1.8 miles of shared files include a large quantity of material that could be moved into the records centre or destroyed. A proposal to deal with this backlog of material is made later in this report. No data have been collected on the volume of individual filing but it is a considerable amount on top of the paperburden of shared filing.

A recent mail service study of Metro departments reveals annual outgoing mail of approximately 1 million pieces (exclusive of courier service); incoming of approximately 2 million pieces and inter office mail of approximately 1.6 million pieces, all of which is a great deal of documentaton to classify, index, file, track for action and maintain for long term use.

Problems and Solutions:

The following points identify the major deficiencies of records management in corporate departments.

(1) Bottom-up Planning:

The Corporation lacks a comprehensive and coordinated information management strategy. There is no long range planning mechanism to ensure a coordinated corporate information plan. Such a planning mechanism would identify information requirements (media, technology, data, staff, supplies, equipment) in the context of top down mission statements starting at the corporate level. As a result of bottom up planning there is a virtually uncontrolled proliferation of filing equipment and little microfilming or integration with other media and systems. At times, information is not easily shared at the corporate, departmental or divisional level because its existence is not known to other potential users.

Required Action:

The development and annual updating of an integrated information management plan in departments should be linked to the budgetary cycle for capital and operational costs including staffing. This information plan should be based on information resources in the appropriate media to support departmental mandates.

(2) Lack Of Central Authority And Responsibility For A Department's Records:

Frequently, departmental records management responsibilities reside within an administrative division. Thus, administrative records may receive more attention than operational records. Lack of assigned responsibility results in file fragmentation -various employees each with a part of the file. Incomplete information has obvious consequences for decision-making, particularly for long term issues.

Required Action:

Responsibility for all departmental information management activities should be assigned to one individual.

(3) Lack Of Designated Staff With Records Management Training Or Experience:

The authorized establishment has increased from 2200 in 1956 to 8800 in 1989. Few departments (see Appendix 3) have staff dedicated to records management. In many instances, secretaries, whose priorities are typing and administrative functions, regularly postpone their responsibilities for filing which causes backlogs of filing work. This frequently results in other staff spending time looking for documents not yet filed. Appendix 3 indicates that the expansion of programs and services since 1953 has not been matched by increased records management support staff. This is a major contributing factor to the problems identified herein. Potential lost productivity ranging from 14 to 48 positions is analyzed in Appendix 4.

Required Action:

The number of Records Clerks should be increased in conjunction with preparing to move into Metro Hall and in accordance with the backlog reduction project in Appendix 10 and the work schedule in Appendix 11.

(4) File Control

Lack of designated staff precludes efficient performance of the following important services: operating a file classification plan, collecting, screening, sorting, coding, indexing, cross-referencing, filing, charge-out/retrieval, follow-up, document purging, and reference services. This impacts the overall productivity of an organizational unit. Also, it may

affect the Corporation's ability to respond to access and privacy requests when this legislation comes into effect January 1, 1991.

Required Action:

Filing systems should be centralized, appropriately staffed, and the corporate automated records management systems should be implemented.

5. Excessive Duplication:

Lacking centrally controlled files and with an inadequate service level, many users start to create duplicate files as a safeguard. Staff involved with a particular project can each have a partial set of documents. Also, duplication results from the decentralized nature of the Metropolitan Corporation, particularly for extensive administrative records such as financial material. In addition to unnecessary paper and photocopy costs, the impact of duplication can be significant for space and material. Appendix 5 details the extent of shared filing material by department. It does not include files in individual offices.

Required Action:

Filing systems should be centralized, automated and appropriately staffed in order to supply records management services to departments.

(6) Records Retention By-laws Are Not Implemented:

Records Retention By-laws are the mechanism for destroying unneeded records. Thus, they are important for efficient information retrieval, preservation of records with enduring value, meeting legal retentio requirements, and for reducing filing space and equipment requirements.

(a) Due to insufficient staff, some departments have not applied their records retention by-laws in decades.

(b) Departments are having difficulty relating the by-law authority to their files.

Required Action:

The corporate automated records management system should be implemented to link retention authority with file classification and file management.

(7) Prolonged Implementation Of Records Management Studies

Studies in large departments take many months to complete. The resulting recommendations in records management reports are adopted by the department's Senior Management. After adoption, the changes may take two to three years to complete. This is particularly problematic for changes to filing systems. Frustration arises for both those implementing the changes and those using records. These implementation delays arise either from insufficient staff working on projects or staff being re-assigned to cover absences, et cetera.

Required Action:

Implementation responsibility and resources should be assigned to the Records and Archives Division.

(8) Corporate Records Management - Lack Of Continuity:

Since the first records management pilot project in 1983, there has been a high staff turnover. The three Records Analyst positions in the

Clerk's Department which provide front-line service to departments are temporary. There have been no incumbents in the corporate records management program with more than four years service. As well, the transfer of program responsibility to the Clerk's Department in 1985, raised concerns in some departments about the stability of the Corporate program.

Required Action:

The stability of the records program must be ensured through staff continuity and approval of a policy statement and mandate.

(9) Corporate Direction And Changes:

Prior to 1986-1987, the emphasis in the records management program was on studies in individual departments on a charge back basis. Recognizing the integrative role of the Archives and Records Centre (and more recently access and privacy legislation), initiatives in the Clerk's Department have been toward developing a "generic" Corporate File Classification System supported by an operational manual and standardized training. These basic tools, which are in progress, in conjunction with automation and the Archives and Records Centre, are important fundamentals to a corporate program. However, central responsibilities and direction may face resistance in a decentralized organization.

Required Action:

Strong support should be shown by senior staff and Elected Officials for the initiatives proposed with respect to corporate directions, automation, use of the Records Centre and work preparatory to the move to Metro Hall.

(10)Unsystematic transfer of records:

Departments with access to their own off-site storage facilities have tended to periodically "dump" unused records rather than improving their systems to ensure records are controlled. Thus, inactive records are difficult to retrieve and poor storage environments contribute to the deterioration of records.

Required Action:

Regular and systematic transfers to inactive records storage and after its completion, mandatory use of the Metropolitan Toronto Archives and Records Centre should be required of all departments; and can be facilitated by implementation of the corporate automated records management system.

(11)Lack of Centralized Filing:

There are more than 1200 pieces of shared filing equipment (see Appendix 6) occupying over 12,000 square feet of floor space which is one half of a Metro Hall floor. Many departments use file cabinets that are relatively old and in fair to poor condition. Much of this equipment is not space efficient and, if moved into Metro Hall, space costs (at $40/square foot) for filing would range from $2.30 to $12.16 per filing inch. A mix of 67 categories/heights of filing equipment affects the Corporation's ability to take maximum advantage of volume buying for supplies. As well, equipment quality varies greatly among vendors and is not easily integrated into one office.

Required Action:

Authority to approve filing equipment purchases should be assigned to the Director of Records and Metropolitan Archivist.

(12)Correspondence Control:

In some departments important correspondence is manually recorded in a correspondence log, but is not linked to a particular file. Thus, a few months later, even when the date of receipt can be determined, the document sought may be difficult to find.

Required Action:

When required, correspondence control should be integrated with the corporate automated records management system's classification module.

STRATEGIC DIRECTIONS

Building Blocks for a Corporate System:

The key elements to improving the management of recorded information are:

- the Archives and Records Centre;
- automation to support records management functions;
- centralized and coordinated control of records;
- resources to deliver records management services; and
- an information management planning process.

The first element, a building to provide appropriate storage, security and service for inactive and archival records, is scheduled to open in 1990. Its immediate and continuing impact will be to aleviate space requirements for file storage within corporate departments.

The second element, automation of records management services, will facilitate meeting the program objectives previously identified. In summary, automation is the tool for management of our information resources to overcome the twelve problems identified above. Funding for this project is included in the Clerk's Department 1989-1993 Capital Budget at an estimated

cost of $1600 thousand phased over three years. (This does not include communications and peripherals in departments).

The third element is the centralization of departmental files into designated file rooms planned for Metro Hall. Users will be able to search for information and order files remotely using the automated system. Required files or documents can be in their own active departmental system or at the Archives and Records Centre and ordered on line from either location.

The fourth element is the provision of resources for staffing file rooms to ensure that employees in all departments in Metro Hall receive the required records management support. Records managment cannot be a part time activity done at the end of a busy day, if time permits. The legacy of that approach is well documented in this report.

The fifth element is the development of a long range information planning strategy that links the budget and staffing processes with information in all media and technologies to support corporate and departmental mandates and objectives. Such a process must be developed in consultation with the various information specialists and departmental managers, if we are to avoid the modern informational equivalent of the Tower of Babel.

The roles of automation and staffing as strategic to the move into Metro Hall are discussed below.

AUTOMATION

Benefits of Computer-Assisted Records Management (CARM):

(1) Faster Search:

A CARM system exploits both the data processing and the communications features of typical computer systems. First, it has the capability of quickly and efficiently retrieving information about the location of records, thus accelerating their subsequent retrieval. In addition, the search can be conducted at any terminal connected to the system. As a result the computer search is much faster than traditional methods including telephone calls, user visits to records offices and manual searches of card indexes and linedex panels. This will be of particular benefit when responding to formal access requests.

(2) Better Utilization of Personnel:

CARM eliminates the number of repetitive tasks such as typing file labels and index cards.

(3) Saving Space and Equipment:

Savings are achieved through the elimination of linedex panels and stands, kardveyers, cardwheels, card index trays and tubs as well as forms such as charge-out cards, linedex strips, index cards, etc. Furthermore, substantial savings in space can also be achieved through the computer aided application of retention and disposal schedules.

(4) Greater Flexibility:

CARM offers flexibility because of its capacity to retrieve information by searching various fields such as the name of addressee or sender,

creation date, Access to Information class number, prefix, etc., rather than by subject and file number only. Previously, organizing and maintaining an index based on a number of searchable fields was prohibited by the amount of work involved.

(5) Instantaneous Updating of File Information and Indexes:

An advantage of CARM is the expeditious production and updating of file information and indexes. Any addition, modification, or deletion to the data is automatically reflected as it is executed because the database is kept on-line. The production of file classification manuals is also accelerated because numerous maintenance steps and the dependence on word processing expertise are eliminated.

(6) Multi and Simultaneous Access:

Another benefit CARM offers is to give numerous users simultaneous access to the same database while performing the same or different functions. For instance, in a multiple record office setting, the staff of Records Office "A" can consult the charge-out data of Records Office "B" without ever leaving their office or disturbing personnel of Records Office "B". Additionally, within the same records office, employees are spared the inconvenience of queuing to consult the same indexes.

(7) New Approaches to Work and Organization:

- CARM permits the creation of new and more challenging types of work. The computer system can perform repetitious tasks such as producing file jacket labels, classification manuals and special-purpose listings more quickly and accurately than people. Consequently, staff can deal with more challenging tasks associated with directing the computer's operations. This greater challenge arises naturally from the fact that the computer presents the human operator with many more variables and

much greater speed than any manual system. Consequently, computer-aided information classification and searching can increase the scope of intelligence and imagination.

(8) Quality of Service:

On-line indexing and classification can utilize vocabulary controls to ensure consistency of subjects. This improves the ability of the records office to file consistently and retrieve documents on various subjects.

CARM Automation Plan:

Departmental requirements can be segmented into three basic categories of users. These include:

Group A Departments with basic records requirements, relatively low volume of records creation and access, and those that have not progressed extensively with in-house automated support of records (eg. Audit, Treasury, Management Services).

Group B Departments with extensive records operations and some automated records support, but where automation of records management functions are discrete from general operations (eg. Works, Parks and Property, Roads and Traffic).

Group C Departments with extensive records operations where records control is automated but integrated into operational requirements and/or Data Bases external to Metro (eg. Licensing Commission, Housing Company, Community Services).

Based on current volumes, estimates of the number of files to be managed by the computer system are in the range of 1 1/2 to 2 million. (See Appendix

7). The upper limit of the system to manage the building at capacity would be approximately 4 million files.

Based on vendor submissions to an extensive Request for Information issued in 1988, and the review of departmental records procedures, it appears that the configuration most viable at this time is a centralized facility with the immediate requirement of supporting up to 25 work stations within the Records and Archives Division and the capability to provide ports to support dial-in or dedicated line access from departments for upwards of 100-150 work stations representing departmental requirements, access from Councillors' offices, external clients of the Division and potentially controlled access from other archives or information centres. Key to the central configuration will be those functional requirements that impact directly on the operation of the Archives and Records Centre and the tools used to promote records control in the departments. To achieve an integrated records management function, it is necessary to relate to departments so that:

- machine readable data is uploaded to the Archives and Records Centre from departments in a defined format in conjunction with the transfer of paper files;

- on-line access to the Archives and Records Centre System is provided to utilize corporate classification, retention schedules and vocabulary with potential to download into local departmental systems;

- the option of a dedicated connection to the Archives and Records Centre system to support a local departmental records management system.

It is in this light that the configuration supports at this time a centralized Records and Archives database architecture with open

communications and the ability to both upload and download data from a Records and Archives system through direct connect or dial-in communications, or gateway networks from other functional local or wide area networks or mainframe platforms.

System Priorities - Five Stages:

Based on the timing of proposed events relating to the opening of an Archives and Records Centre and Metro Hall, it is appropriate to begin priorities with the smooth operation of functions within the Centre. This establishes as a priority the initial configuration to support the five stages identified below. Installation of a base system and development of the storage control and a departmental pilot project will occur in the offices of the Records and Archives Division at 365 Bay Street prior to the opening of the Archives and Records Centre. A schematic description of the automated functionality is provided in Appendix 8.

Stage 1: Records Centre Support 1989

This is essential to allow for responsive management of the initial influx of boxes into the Records Centre. This inactive material will tend to be pre-1988 material, created outside of the corporate classification system, and for which minimal machine readable data exists. This system must address the retrieval needs of all categories of users as staff confidence in and use of the system is central to the success of a corporate records management program.

Stage 2: Records Management Support 1989 - 1990

These functions will allow centralized support to create and maintain essential tools of Records Management, namely Classification Scheme, Retention Schedule and Vocabulary Control. This would replace the current

dBase system and involve some machine readable databases. When developed it will be a key corporate information platform to support cross departmental searches pursuant to access to information requests.

Stage 3: Document and File Control, Access and Privacy Support 1990

Introducing these functions will allow for training and familiarizing Records and Archives staff so that they can support departmental users who are preparing to interface data or access these functions directly. At this stage, a pilot project would be commenced to directly relate these functions to departmental needs, for those departments falling in Group A. The relationship between records management and access and privacy requirements is identified in Appendix 2.

Stage 4: Archives Management 1991

After the initial influx of stored material and stabilization of basic operations, staff time will extend to archival control functions and the transfer of stored materials to archival control will commence.

Stage 5: Operations Management, Systems Management 1991

By this stage the Archives and Records Centre should be in full operation and offering broader public service support. These functions would be refined based on initial system usage.

The costing components for each phase appear in Appendix 9. Funds have been incorporated into the 1989-1993 Capital Budget of the Clerk's Department with further approval by Council after vendor proposals have been evaluated.

STAFFING REQUIREMENTS

As previously stated, Appendix 3 indicates that staffing of the records management function has not kept pace with the general growth in the size of the Corporation and its increased responsibilities. Also, Appendix 4 suggests that lack of designated staff for records management represents a productivity loss of 14 to almost 50 positions in the Metro Hall context.

(A) Corporate-Records Analysts:

Correcting the twelve problems previously discussed, undertaking major automation requirements, implementation and operation of systems for access and privacy, corporate records systems initiatives in the area of classification, vocabulary control, retention scheduling, documentation management and planning for and operation of a records centre and tape library system require the conversion of three EM1 temporary Records Analyst positions in the Records and Archives Division to permanent status in the 1990 spring window. This does not represent an increase to the salary and fringe benefit account in the Records and Archives Division. The 1989 approved estimates include the following expenditures for these positions:

$000

Records Analysts(3) Annualized Costs (1989)

Salary	Benefits	Total
$ 102.5	$ 16.7	$ 119.2

(B) Records Centre:

With respect to inactive records sevices at the Metropolitan Toronto Archives and Records Centre the following positions will be required:

Records Centre Manager (1)

Records Centre Clerk/Driver (2)

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Both the Works Department and the Community Services Department have extensive inactive records with staff providing retrieval services from John Street and 590 Jarvis respectively. Presumably absorption of these records by the Clerk's Department would have a staffing offset in those departments.

Security Supervisor (1)

Security Staff (4)

(It is anticipated that a 24 hour security system can be integrated with Metro Hall security, reducing the numbers above which reflect vacation scheduling and absences).

(C) Community Services Department - Records Analysts:

The Community Services Department establishment includes a Supervisor of Records Management and two temporary Records Analysts positions to service the entire department (see Appendix 3). Since its inception the program has developed records systems in thirteen of the ninety sections/locations. The functioning of this unit must be guided by Corporate directions. Much work remains to be done in area offices. Given the size of the department, its voluminous information holdings and the special legislative framework for client files, the two temporary records analysts positions should be converted to establishment positions. The 1989 approved estimates include the following expenditures for these positions:

$ 000

Records Analysts (2)	Costs (1989)	
Salary	Benefits	Total
64.3	11.6	75.9

(D) Corporate-Temporary Staff:

Studies in corporate departments have shown that many filing systems are burdened with inactive, archival or unneeded records. Efficiencies

of space, equipment and information retrieval can be achieved by removing these records from offices to the Records Centre or destroying them if they are no longer needed.

Appendix 10 identifies the need for four temporary staff for approximately 500 person days of work at a cost of $206.9 thousand at 1990 salary rates. This work should commence in 1990 for completion in advance of the move into Metro Hall. The 1990 phase of the work represents $68,870.00 of the total. Reducing the volume of records moving into Metro Hall will reduce space, equipment and staffing requirements (see also section C.2 below respecting staffing).

The service objective of the Appendix 11 work plan is to be able to move departmental records holdings from various operational areas into a central file room in Metro Hall with minimum disruption to users. Given the magnitude of the job it must commence as soon as possible.

It is important to ensure that once departmental systems are improved, they are maintained. This may not be feasible with existing resources in departments. To ensure proper maintenance of records improvement projects, temporary clerical support staff should be retained by the Records and Archives Division to operate these systems prior to moving to Metro Hall. This arrangement should prevail unless departments can establish a central file room.

In 1990 the work plan focuses on a pilot automation project in the Parks and Property Department followed by the Legal Department and the Clerk's Department. Three temporary Records Clerks will be required to support these systems for the conversion to automation and post conversion operations.

This arrangement will ensure that systems can be maintained under central direction without diversion of staff to non-records activities.

It also enables the resource requirements to support departmental filing systems to be evaluated on the basis of need without any unncessary permanent staffing commitment. In other words, if active records systems can be reduced, controlled and service requirements monitored, needed staffing can be phased into Metro Hall file rooms without unncessary establishment requests and with full justification.

E. Departmental Staff - Records Clerk:

During August and September of 1988 a Records Management Status survey was conducted in corporate departments by the Records and Archives Division. Those interviewed were the administrators and the records staff. One of the questions posed was,

> How much time do you think non-records management staff spend doing records management functions such as classification, coding, retrieval, filing, etc.?

The responses varied considerably as to duration, and represent estimates, not the results of time-motion studies. Secretarial time ranged from 1/2 to 2 1/2 hours per day with an average of approximately 1 1/2 hours. Managerial and "other" time ranged from 5 minutes to 1 hour per day with an average of 42 minutes (skewed towards an excess of 1/2 hour per day) see Appendix 4. If the actual time spent is substantially reduced to a range of 3 minutes to 10 minutes per day per employee, there is a productivity loss of from 1% to 2.5%, which is the equivalent of fifteen to fifty employees. Thus, viewed across a work force of approximately 2000 employees in Metro Hall, lack of staff and resources dedicated to records management has two negative results - poor quality records keeping as previously described, and staff inefficiencies.

The major influences on staffing requirements for a records management office are:

- activity levels;

- number of users and their file/document requirements;
- volume of files, types of files and volume and complexity of documents; and,
- services performed (see appendix 1).

While all departments would benefit from dedicated records management staff, the staffing levels will vary considerably. In addition, existing office layouts often preclude centralizing of files and equipment without renovations.

The operation of the Archives and Records Centre scheduled for late 1990 offers a relief valve to the rapidly accumulating paper burden. The planned move to Metro Hall scheduled for 1992, provides an opportunity to conserve space and improve records management services by centralizing filing systems on a departmental basis. (Departments sharing a floor would share the file room and staff).

Assuming an automated records management system, for planning purposes, the ratio of file room staff to volume of records ranges from 3000 inches of files per records staff to 3600 inches of files per records staff. Using the volume of active files in appendix 5, the staff requirement (gross) ranges from 26 to 31 positions. However, there are approximately 8 full time positions primarily involved in file operations. Thus there is a further staff requirement (net) of from 18 to 23 positions, a few of which currently are temporary positions. The proposed backlog reduction (Appendix 10) and work schedule (Appendix 11) should reduce and clarify the staff requirements by reducing volumes of records and implementing automation. The actual staffing schedule should be linked to the workplan in Appendix 11.

MOVING TO METRO HALL

Cost/Benefit of Centralized Files:

Metro Hall presents an important opportunity to standardize equipment, thus saving space, to improve the management of documentary information, to improve service levels and to reduce duplication.

The model proposed for a records management service in Metro Hall is comprised of centralized file rooms; highly efficient mobile equipment; automation connecting central files to remote users, other file rooms and the Records Centre; a guided track conveyor system to move records between floors; and trained staff operating the file rooms.

The centralization of files reduces the space requirement for this function from 21,102 square feet to 7,375 square feet which at an estimated gross cost of $40.00/square foot is an annual saving of $549,080.00.

The additional staffing cost to service centralized files is in the range of $435.8 thousand (18 positions) to $555.6 thousand (23 positions) in 1990 dollars, in addition to the potential efficiency gains previously discussed and described in Appendix 4. Thus additional resources for improving an important information service are generally balanced by space savings achieved by centralizing without regard for general staff productivity or imputing value to the information resource.

Work Plan Description:

(The following work plan to prepare filing systems for Metro Hall should be read in relation to Appendix 11 and the costing tables which follow the conclusion)

The following tasks have been scheduled in order to prepare to move records systems into central areas in the new facility. Measures to accomplish

these tasks in departments moving to Metro Hall have started, and should finish in 1992. For departments not moving into Metro Hall these tasks should be completed by end of 1993.

(1) Review, Purge and Transfer of Semi/inactive Records:

Using temporary staff, this project will eliminate the backlog of semi/inactive records and duplicate copies of records from active storage in offices. Before conversion to corporate and operational file plans, existing records schedules will be used to reduce the backlog. Contract staff will be required from 1990 through 1991 to work in seven departments with more than 1,000 linear inches of dormant records in active storage. Reduction of inactive records in departments with less than 1,000 linear inches will be carried out by existing records management staff. Staffing details for this project are included in Appendix 10.

(2) Implementation of Corporate File Plan:

This project involves the replacement of the existing departmental file plans with a uniform classification system for all administrative records in departments. It will facilitate uniform scheduling of administrative records, identification of official and unofficial copies of records and related duplication.

(3) Development and Implementation of Operational File Plan:

The operational file plan will cover records specific to the operational functions of departments. A detailed inventory is required before developing a meaningful operational classification system and a comprehensive records retention schedule. Departments converting to corporate and new operational plans should automate their records management function as they convert to their new classification systems.

The conversion to new filing systems is a large undertaking necessary for Metro Hall. These systems must be maintained to ensure a successful move into the new building. It is proposed that for this interim period the Records and Archives Division operates the filing systems using a pool of temporary Records Clerks. This interim measure will ensure protection of the investment in new systems and establish data for Council decisions with respect to permanent staffing in Metro Hall file rooms.

(4) Training:

Once conversion to a new filing system is well underway, users of files will require orientation and training in the use of the new system. The Records and Archives Division will provide the required training during and after conversion . In departments with designated Records Clerks, they will help in orienting and training of users.

(5) Automation of Records Management Functions:

Automation of records management functions in departments should be integrated with their conversion. As previously described, this will entail the introduction of a computer system for the purpose of document control, file maintenance, records retention and disposition. It will include the generation of statistics to be used in records management planning at departmental and corporate levels.

(6) Development of Records Retention Schedules:

Most departments have records retention schedules which need revising but which can be used to reduce backlogs in departments. After conversion and implementation of new file systems (post 1992/93) all records retention schedules will be revamped and replaced with comprehensive ones. Administrative records retention schedules will be developed before 1992 for those departments currently lacking them. These will be linked to the Corporate File Plan.

CONCLUSION

The Metropolitan Corporation has three important assets - staff, capital and information. While it delivers many services to the public, some of which can be objectively quantified, its life-blood is information. Notwithstanding extensive computerization, much of our information remains document based. Information within government must be accessible, accurate and complete. Internal systems and processes must ensure that all information is available for management, political decisions, public access when permitted and service delivery. To achieve this, the types of media and their related technologies should be planned and coordinated within a framework of corporate standards, policies and procedures. Large governments must develop and maintain a viable information management strategy that recognizes who needs what information for what purposes, and then deliver it as efficiently as possible using the appropriate media and technology.

The legal environment with respect to information takes on new significance under the Municipal Freedom of Information and Protection of Privacy Act, 1989. Information practices are subject to external third party review by the Information and Privacy Commissioner. In his 1988 Annual Report the Commissioner commented:

> Because we live in what can accurately be characterized as "the information society", innovative technologies continue to expand the role of information as a commercial, scientific and social decision tool.... the Act recognizes the need to carefully monitor and assess the impact these changes will have on personal privacy and access to information.

Corporate records management plans are directed towards the move of headquarters activities into the more integrated environment of Metro Hall. This move is an opportunity to improve the efficiency of information management through:

- full use of the Archives and Records Centre;

- a computer-assisted records management system;
- centralized file rooms with trained staff serving users;
- an electric track conveyor system that among other things will deliver a file to any floor in Metro Hall in less than fifteen minutes.

Thus Metro Hall benefits from previously approved initiatives and the objectives of the corporate records management program. The proposed model serves the needs of users, improves management controls and will ensure a responsive Metro to public rights of access and privacy.

Computer assisted records management can rectify many of the problems facing the corporation, identified in this report. It will facilitate delivery of services and products required by the Municipal Act with respect to records retention scheduling and access rights pursuant to the Municipal Freedom of Information and Protection of Privacy Act. Service to users seeking information will be improved and the paperburden in offices and in the records centre will be more efficiently managed, resulting in better use of space and equipment. Records management reports and statistics generated by the system will lead to improvement in paperburden reduction efforts.

It would be reasonable to assume that during the next decade further automation will lead to more information sharing among departments and with Elected Officials and the public. The principles and information management tools and processes being developed within the corporate records management program will become increasingly important in establishing a corporate body of accessible information either in paper format or other media. The Metropolitan Corporation cannot develop modern integrated office information systems from a base of poor manual systems.

It is important that the continuity and direction of the corporate records program be clearly supported to ensure departmental confidence. The responsibilities of the Records and Archives Division of the Metropolitan Clerk's Department include the following areas of records management leadership, coordination and administration:

- policies, guidelines, procedures, training and reviews;
- records inventories, corporate file classification and indexing system and records retention scheduling;
- records management automation;
- standards for records management equipment and supplies (in collaboration with the Commissioner of Purchasing and Supply);
- records centre operations; and
- archives administration.

Delivery and maintenance of a corporate records management system requires the commitment of experienced professional staff with extensive knowledge of departmental functions and the information resources required to support programs. The size and scope of the job requires that temporary positions which have existed since 1983 be converted to permanent positions.

Many departments unnecessarily maintain inactive records in their active filing systems. This results in inefficient use of equipment and space and contributes to poor filing and retrieval service. A review of departments indicated that approximately $206.9 thousand, spread over the 1990 and 1991 operating budgets is required to hire four temporary staff to remove this material from filing systems.

A phased plan to prepare and maintain records systems for the move to Metro Hall has been developed. This plan incorporates needed records management automation. Additional staffing for operating central file rooms is offset by space saving through centralization in Metro Hall and by improved productivity as other staff will no longer perform records management functions.

Moving 1800 staff and their miles of files reqires much advance preparation. Recognizing the need to protect the investment in the phased records management improvement program outlined above, the Records and Archives Division should provide and direct a pool of Records Clerks to ensure on-

going maintenance and service to departmental users after new systems are implemented. As the work plan progresses towards 1992, this temporary work pool and statistics generated from the automated system will provide the data to substantiate any additional establishment requests. This proposal ensures a quality control on the records systems and provides needed data and flexibility to the operating budget review process.

TABLE 1

STAFFING

$000(1990)

	1990	1991	1992	1993	1994
A. CONVERSIONS					
Temporary to Permanent					
Clerks Department	135.3	135.3	135.3	135.3	135.3
Comm. Services Dept.	86.4	86.4	86.4	86.4	86.4
Total A	221.7	221.7	221.7	221.7	221.7
B. NEW POSITIONS					
Records Centre					
Operations	5.0	104.8	104.8	104.8	104.8
(Manager, 2 Clerks)					
Security(2 positions)	8.4	99.6	99.6	99.6	99.6
Total B	13.4	204.4	204.4	204.4	204.4
C. METRO HALL MOVE					
Backlog Reduction(App.10)	68.9	138.9	-	-	-
(2 Clerks,2 Analysts)					
Conversion (App.11)	73.3	73.3	73.3	73.3	-
(Records Clerks Temp)	(2)	(2)	(2)	(2)	
Interim Maintenance	73.3	109.6	183.3	-	-
(Records Clerks Temp)	(2)	(3)	(5)		
Metro Hall File Rooms	-	-	312.4-+	495.7-+	495.7-+
(Records Clerks)			(13-20)	(18-25)	(18-25)
Total C	215.5	321.8	569.0	569.0	495.7
TOTAL COSTS A+B+C	450.6	749.9	995.1	995.1	921.8

Table 2

Projected Departmental Automation Costs

(See also Appendix 9 for the Central System cost and the Work Schedule in Appendix 11)

Department	PC	Printer	Maint.	Lines	Bar Code Labels	Install-ation	Total Cost
1990							
Parks & Property	13044	995	1491	4080	600	600	20810
Clerk's	4348	995	725	-	150	-	6218
Legal	8696	995	1108	-	480	-	11279
						1990 Total	$38307
1991							
CAO	4348	995	725	2040	100	300	8508
Chairman's	8696	1990	2216	2040	150	300	15392
Community Services	30436	5970	4733	14280	1020	2100	58539
Housing	4348	995	725	2040		300	8408
Treasury	13044	995	1491	4080	1260	600	21470
Works	13044	995	1491	2040	600	300	18470
Lines to Archives and Records Centre							7020
						1991 Total	$137807
1992							
Audit	4348	995	725	2040	75	300	8483
MSD	13044	995	1491	2040	240	300	18110
Personnel	13044	995	1491	2040	360	300	18230
Planning	8696	995	1108	2040	180	300	13319
Roads & Traffic	13044	995	1491	2040	660	300	18530
						1992 Total	$76672

Table 2 (Notes)

Departmental costs are based on current equipment pool prices for an entry level PC, dot matrix printer and CENTREX leased lines and modems. These figures are estimates in advance of responses to a Request for Proposal to be issued in the fall of 1989 and do not reflect communication savings by linking into existing or planned networks.

DEFINITIONS

Central Files: Records that are generated or used by more than one organizational unit but are systematically arranged in one location and placed under the control of designated staff.

Record: "Record" means any record of information however recorded, whether in printed form, on film, by electronic means or otherwise, and includes, correspondence, a memorandum, a book, a plan, a map, a drawing, a diagram, a pictorial or graphic work, a photograph, a film, a microfilm, a sound recording, a videotape, a machine readable record, any other documentary material, regardless of physical form or characteristics, and any copy thereof.
(Source: Municipal Freedom of Information and Protection of Privacy Act, 1989)

Records Analyst: Specialist in the analysis and evaluation of systems and procedures involved in the creating, processing, storing and management of records.

Records Centre: An area or a building that is utilized for organized storage of inactive records retained for administrative or operating purposes, usually for a limited period of time.

Records Inventory: An identification and quantification of all the records possessed by an organization.

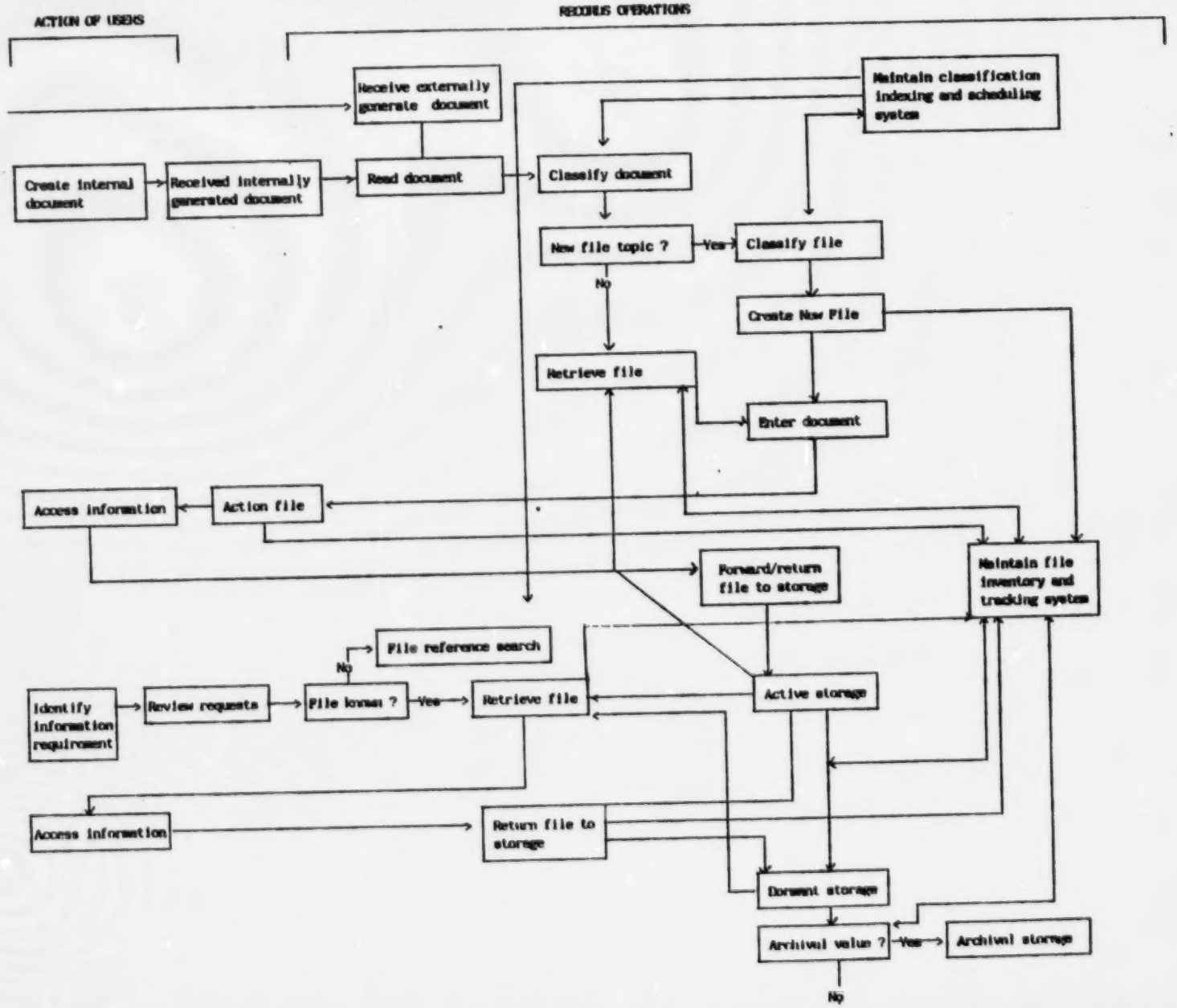
Records Management: Records management means the planning, implementation and review of a function for administering the records of an organization. The term includes the identification, classification and retrieval, storage

and protection, receipt and transmission, retention, and disposal or preservation of the records. It also encompasses the policies, procedures, systems, operations, space, equipment and records management staff required to administer the records.

Retention Period: The period of time during which records must be kept before they may be disposed of; usually in terms of years or related to an event.

Retention Schedule: A timetable that identifies the length of time a record must be retained in active or inactive status before destruction or transfer to archives.

The procedure associated with manual systems include subject classification, indexing, cross referencing, opening new files, file inspection and review, file closing, file searching, retrieval, charge out, bring forward, file chasing, passing, by hand deliveries, controlling access, file storage and the disposal of obsolete information. A simplified example of a manual system is shown below.



Appendix 1

Appendix 2
Corporate Records Management Program
and
Support for Access and Privacy Legislation

Function	Responsibility		Access/Privacy Requirement
	Corporate	Department	
Information Policy Development	P	S	Supports
Procedures and Guidelines	P	S	Supports
Training/Review	P	-	Supports
Records Inventories	P	-	Supports
Records Retention Scheduling*	P	S	Yes
Records Disposition (Current)*	-	P	Yes
(1990)	P	-	
Active File Management	S	P	Supports
Inactive File Management (Current)	-	P	Supports
(1990)	P	-	
Archives Administration	P	-	Supports
File Classification Systems	P	S	Supports
Indexing Systems	P	S	Supports
Records Management Automation	P	S	Supports
Equipment, Supplies, Space Planning	P	S	No
(Access and Privacy Listings)*	P	S	Yes
(Essential Records)	P	S	No
(Disaster Planning)	P	S	No
[forms Management]*	-	-	Supports
[mail management]	-	-	No
[directives management]*	-	-	Yes
[correspondence management]	-	-	No
[imaging systems]	-	-	No

LEGEND:

- \- - Designates little or no activity
- P - designates a primary responsibility
- S - designates a secondary responsibility
- () - designates a responsibility yet to be assumed but required
- [] - designates a new function that should be considered in the future
- * - Required by statute

APPENDIX 3

Full time Records Management Staff

Department	Program	Classification	No.	Since
Chairman's		Clerk 3	1	1985
		Clerk 5	1	
Clerk's	Records & Archives	EM 4	1	1983
		EM 1 (Temp)	3	
Community Services	Office Support	EM 4	1	1985
		EM 1 (Temp)	2	
	Accounting	Clerk 3	1	1985
		Clerk 5	1	
Housing	Administration	Clerk 3 (Temp)	1	1988
Legal	Administration	Clerk 2	1	1986
		Clerk 5 (Temp)	1	
Parks & Property	Real Estate	Clerk 2	1	1970's
Planning	Central Services	Clerk 2	1	1984
		Clerk 5 (Temp)	1	
Roads & Traffic	Administration	Clerk 2	1	1950's
(also, mail and supplies)		Clerk 3	2	
		Clerk 5	1	
Works	Administration	Clerk 5	1	1954

(SEE DISCUSSION ON NEXT PAGE)

Appendix 3

Notes

(1) Only two departments - Works and Roads and Traffic - have provided records management services to users since the establishment of Metro.

(2) While some departments have established records management programs in the last five to ten years, no department offers this service to all areas. Some combine the function with their duties such as mail and supplies.

(3) While Corporate departments maintain almost two miles of shared files, there are only 15 clerical positions dedicated to some form of records management services. Few departments have any records management automation and none have the full range of needed functionality.

(4) Staff identified in the Clerk's Department and the Community Services Department, Office Support Services, do not run filing systems. They provide professional records management consultation and support to operational areas.

(5) No department has a central file room for all files or central control over distributed or local file stations. Thus departments lack the ability to deal efficiently with internal and external information requirements.

(6) Lack of central control has led to accumulation of unrequired records in Metropolitan Departments as record schedules are infrequently applied.

(7) Departments with File Clerks serving only one area experience extensive duplication among all operating areas as the service is too limited. Lacking a coordinated direction and central authority one such department shows examples of the same file number referring to five different subjects or projects in the operating areas.

APPENDIX 4

Relative Impact on Productivity of

All Staff Performing Basic Records Functions

Daily Records Functions In Minutes	Records Person-day Equivalent *	Relative Productivity Loss (as a percent of work force)
1	5	0.3
2	10	0.5
3	14	0.7
4	19	1.0
5	24	1.2
8	38	1.9
10	48	2.4
15	71	3.6
20	95	4.6
30	143	7.2
35	167	8.6
40	188	9.4

* Person-day calculation:
(Time in minutes x 2000 (work force) ÷ 60 minutes
÷ 7 hours per day = number of full time staff.

The above table suggests that if a very conservative estimate of 3 to 10 minutes per person per day is spent on filing activities, there is a loss of 1% to 2.5% in overall productivity. This represents from 14 to 48 records management positions. Thus, lack of designated records staff reduces the productivity of the Metro work force, impacts negatively on space and equipment requirements and may in some instances affect the quality of decision making.

APPENDIX 5

VOLUME OF SHARED RECORDS
NOVEMBER 1988
(Measurements in Inches)

Linear Inches	Audit	CAO	Clerk's	Community Services	Legal	MSD	Parks & Property	Personnel	Planning	Roads & Traffic	Treasury	Works	Total
Active	579	1,507	2,463	16,969	8,357	4,223	9,227	5,739	2,841	10,508	21,580	9,182	93,175
Semi Active	45	152	710	934	1,635	451	1,572	416		994	2,578	2,605	12,092
Inactive	728	151	331	582	500	378	1,769	178		447	3,970	681	9,715
Total Files	1,352	1,810	3,504	18,485	10,492	5,052	12,568	6,333	2,841	11,949	28,128	12,468	114,982
Artwork						76							
Binders/ Reports	156	2,313	269	2,870	182	3,224	2,117	786	1,821	3,964	2,298	5,257	25,257
Brochures		460						285					745
Cards								33		23	72		128
Cassettes				137									137
Cheques				4,844							1,440		6,284
Computer Tapes		40		311		750							1,101
Disks		48	78				8				24	39	197
Films				22			20			148			190
Ledgers										10			10
Maps/Plans													0
Drawings				625	88	7,347	2,273		7,161	18,271		582	36,347
Microfilms	51					359		100		90	1,347	456	2,403
Negatives						108							108
Photos				289		1,572	40			47		525	2,473
Printouts	75			477		540				163	71	909	2,235
Reference				828			1,146						1,974
Slides				50			20			94		47	211
Videotapes		6		304									310
Total Other Media	282	2,867	347	10,757	270	13,976	5,624	1,204	8,982	22,810	5,252	7,815	80,186
VACANT	2,468	620	1,051	5,157	1,818	4,704	6,264	1,200	1,095	3,361	4,716	4,085	36,539
TOTAL	4,102	5,297	4,902	34,399	12,580	23,732	24,456	8,737	12,918	38,120	38,096	24,368	231,707

APPENDIX 5
Notes

(1) All figures are expressed in linear inches. They were gathered by measuring and evaluating the contents of all shared filing equipment for those departmental programs moving to Metro Hall.

(2) No figures are available on files stored in individual offices whether in credenzas or cabinets or desks. It would be reasonable to expect such figures would increase file extents by at least 50 percent.

(3) As the study was conducted over approximately three weeks in November 1988, active file inches represent almost a one year accumulation for those departments applying schedules annually. Therefore, this will be a good space planning guide for those departments or programs which regularly remove inactive records.

(4) The extent of duplication of file contents was not evaluated.

(5) The figures for total "other media" suggest that some departments require special information storage equipment as file cabinets are inappropriate for storage of certain media.

(6) Eight departments each have approximately 200 feet of reports and binders. The total for all departments, when combined with brochures is almost 2200 linear feet. In the planning of Metro Hall, consideration should be given to creating an official deposit system for all Metro publications and reports, a central library service for all departments except Legal and central distribution of all Metro reports to the public. Central distribution could be expanded to include print or near print material from agencies, boards and commissions.

(7) Photographs, slides, video and film should be managed according to records management policies and an image bank maintained at the Metropolitan Toronto Archives.

(8) Assuming a regular (at least annual) application of records retention schedules (which rarely occurs), the amount of filing equipment could be greatly reduced in some departments. A control on the purchase of filing equipment would be a useful management practice.

Appendix 5.1

Filing Inches Per Employee

Department	Using Files			Served By Files			Projected Growth in Files Total Inches		
	Min.	Max.	Avg.	Min.	Max.	Avg.	1988	1992	1997
Audit			17			17	579	612	676
CAO	13	73	23	13	61	20	1507	2560	3040
Clerk's			108			50	2463	2500	2950
C.S.D.	10	515	65	16	149	53	16969	28355	32224
Legal	153	425	227			142	8357	15762	18176
M.S.D.	34	61	25	23	55	16	4223	4800	6256
Parks & Property	49	194	100	37	154	80	9227	12480	12640
Personnel	28	207	119	14	131	82	5739	7626	7626
Planning	23	58	40	23	70	47	2841	3995	4042
Roads & Traffic	24	149	101	29	179	73	10508	14673	15038
Treasury	15	348	229	9	242	169	21580	31941	35490
Works	23	306	72	9	121	66	9182	14784	14982
					Total:		93175	140088	153110

Notes:
1. The minimum and maximum range varies greatly among programs.
2. If nothing is changed with respect to records management practices, expected staff increases could result in up to a 65% increase in filing space requirements by 1997.

FILING EQUIPMENT - AMOUNT AND TYPE

APPENDIX 6

SHELF NUMBER	LATERAL FIXED	LATERAL PULL	VERTICAL CABINET	DATABOX	CREDENZA	BOOK SHELF	RECORD BOX	MAP VERT-ICAL	MAP CUB SHELF	MAP UPRIGHT	MAP HANGING	MAP CUB CABINET	MICRO-GRAPH	STEEL SHELF	COMP TAPE	COMP PRINT	CARD FILE	LEDGER TRAY	BINDING CASE	DRAWER	VOUCHER CABINET	TOTAL
** SHELF NUMBER 1																						
** Subtotal **	0	0	0	0	1	6	486	4	4	1	7	0	0	0	2	2	2	2	13	4	0	534
** SHELF NUMBER 2																						
** Subtotal **	0	40	38	0	10	11	0	0	0	1	0	0	0	1	0	0	0	0	0	1	0	102
** SHELF NUMBER 3																						
** Subtotal **	5	74	103	0	1	25	2	3	2	0	0	0	0	0	0	0	0	0	0	0	30	245
** SHELF NUMBER 4																						
** Subtotal **	11	59	210	0	0	21	10	0	0	0	0	0	0	0	0	0	4	0	0	0	0	315
** SHELF NUMBER 5																						
** Subtotal **	49	16	73	0	0	36	0	18	6	0	0	1	0	11	0	0	0	0	0	0	0	210
** SHELF NUMBER 6																						
** Subtotal **	199	27	17	6	0	21	0	1	1	0	0	0	1	7	1	0	0	0	0	0	0	281
** SHELF NUMBER 7																						
** Subtotal **	15	0	0	10	0	12	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	37
** SHELF NUMBER 8																						
** Subtotal **	0	0	0	22	0	5	0	0	4	0	0	0	1	0	0	0	2	0	0	0	0	34
** SHELF NUMBER 9																						
** Subtotal **	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	3
** SHELF NUMBER 10																						
** Subtotal **	0	0	0	0	0	0	0	1	0	0	0	2	0	0	0	1	0	0	0	0	0	4
*** Total ***	279	216	441	38	12	138	498	28	17	2	7	3	2	19	3	3	9	2	13	5	30	1765

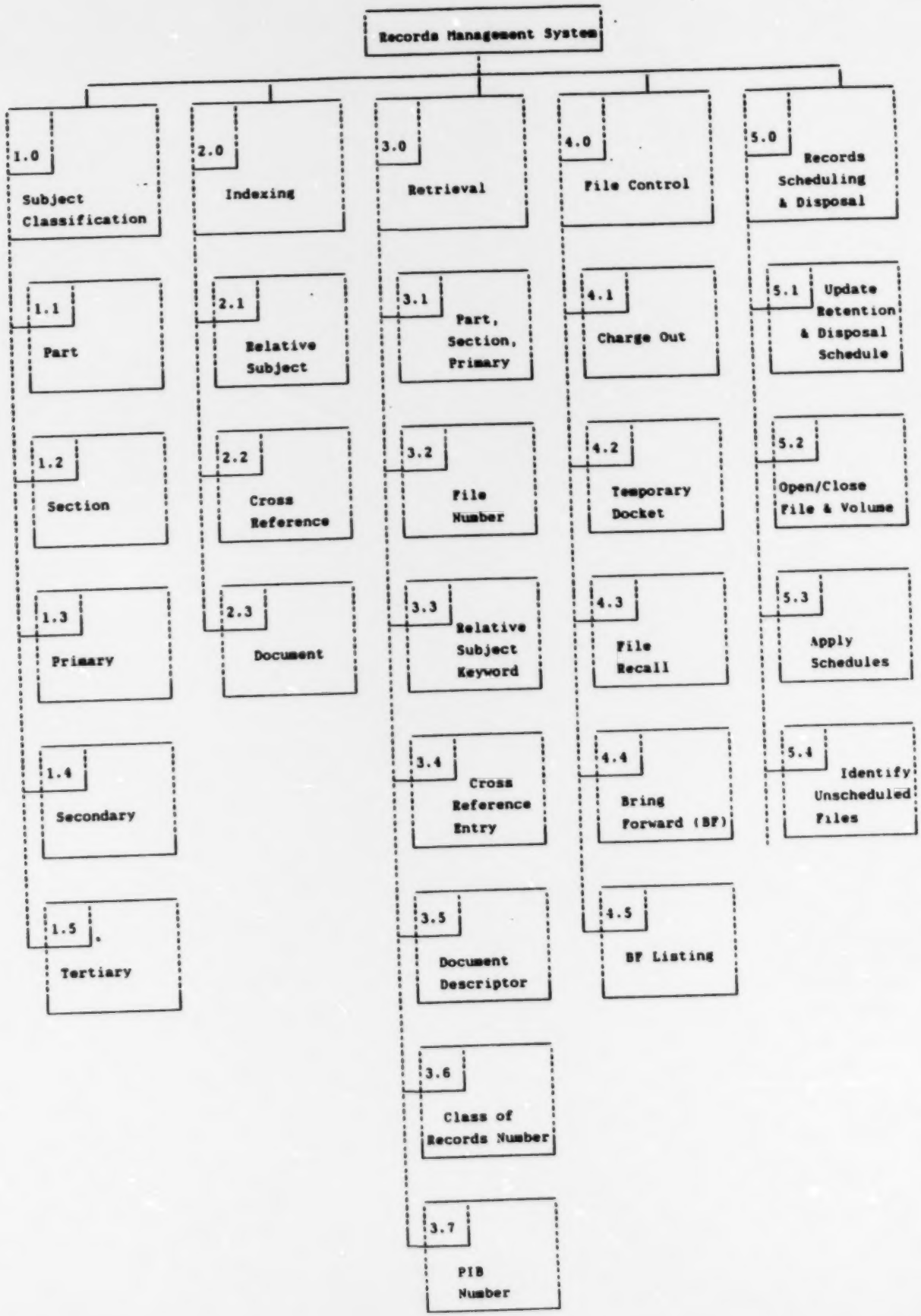
APPENDIX 7
METROPOLITAN DEPARTMENTS
File Estimates

Department	Files Created Per Year	Total Active Files	Total Inactive Files	Maps And Plans
Ambulance Services	2000	15000	37500	
Audit	1000	3000	20000	
Chairman's (office)	1000	4000	16000	
CAO's	1500	4000	18500	
Clerk's	1000	3000	30000	
Housing (Company)*	2500	8000	150000	20000
Legal	1750	20000	50000	50
Licensing(Commission)*	2000	8000	60000	
Management Services	1500	7500	20000	
Central Mapping	150	1000	4000	6500
Parks & Property	2000	25000	37000	25000
Personnel	3500	24000	17000	
Planning	1600	5000	25000	500
Roads & Traffic	5000	18000	35000	32000
Treasury	2000	20000	35000	15000
Works		30000	40000	60000
TOTAL	28500	195500	595000	159050
Community Services (Case Files)				
Children's Services	20000	20000	37500	
Administrative Services	5000	7000		
Homes for the Aged	3000	9000	3000	
Purchased Services	3000	3500	2500	
Hostels	7150	9150	35750	
GWA *	130000	16000	325000	
FBA *	20000	25000	5000	
ESI/ASPIRE	3000	4500	85000	
TOTAL	191150	94150	493750	
Community Services (Non Case Files)				
TOTAL	20000	120000	330000	
ALL DEPARTMENTS TOTAL	239650	409650	1418750	159050
GRAND TOTAL	(All Files)	1828400		

* Controlled by main frame applications.

Note: These figures are estimates based on records management studies, linear extent of files and discussions with departmental records or administrative staff.

APPENDIX 8


Records Management System
1.0
Subject Classification
1.1
Part
1.2
Section
1.3
Primary
1.4
Secondary
1.5
Tertiary
2.0
Indexing
2.1
Relative Subject
2.2
Cross Reference
2.3
Document
3.0
Retrieval
3.1
Part, Section, Primary
3.2
File Number
3.3
Relative Subject Keyword
3.4
Cross Reference Entry
3.5
Document Descriptor
3.6
Class of Records Number
3.7
PIB Number
4.0
File Control
4.1
Charge Out
4.2
Temporary Docket
4.3
File Recall
4.4
Bring Forward (BF)
4.5
BF Listing
5.0
Records Scheduling & Disposal
5.1
Update Retention & Disposal Schedule
5.2
Open/Close File & Volume
5.3
Apply Schedules
5.4
Identify Unscheduled Files

APPENDIX 9

Records Management Automation

Detailed Costs (Assuming Purchase)

C. Vendor Costs (One time)	Stage 1 Prep.Stg.2 Yr 1/89	Stage 2,3 Yr 2/90	Stage 4,5 Yr 3/91	Ongoing, Expansion of network access Yr 4/92	Yr 5/93	Yr 6/94	Yr 7/95	Total
2. Central Hardware	$125,000		$50,000	$25,000		$100,000		$300,000
3. Central Software	$150,000		$25,000					$175,000
4. Local Terminals/Printers	$20,000	$10,000	$15,000					$45,000
5. Telecommunication Support	$75,000		$50,000			$50,000		$175,000
6. Software Customization	$25,000	$25,000	$25,000					$75,000
7. Installation	$22,000	$3,000	$10,000	$5,000		$10,000		$50,000
8. Taxes	$11,250	$1,250	$2,500	$1,500		$2,500		$19,000
9. Supplies	$8,000	$1,000	$1,000	$1,000		$1,000		$12,000
10. Performance Bond	$12,000							$12,000
11. Data Conversion/File Loading	$5,000		$5,000					$10,000
12. Non Vendor Costs (One time)								
13. Development,Evaluation RFP	$15,000							$15,000
14. Proj.Mgmt.Implementation Ass.	$10,000	$10,000	$10,000					$30,000
15. Telecommunications Installation	$2,000		$4,000			$4,000		$10,000
16. Relocation of system to MTRA Centre		$5,000						$5,000
Computer Room Preparation		$10,000						$10,000
17. Ongoing Costs								
18. Hardware/Software Maintenance	$33,550	$38,000	$52,000	$54,500	$54,500	$54,500	$54,300	$341,350
19. Telecommunications	$2,000		$5,000			$10,000		$17,000
20. System Staffing	$12,000	$36,000	$36,000	$36,000	$36,000	$36,000	$36,000	$225,000
21. System Replacement,Upgrade (See note)								
22. Contingency (Capital costs 1-11 Assume 10%	$45,325	$4,025	$18,350	$3,250		$16,350		$87,300
Total	$573,125	$143,275	$308,950	$126,250	$90,500	$284,350	$90,300	$1,616,550
Lease Costs Over 7 years	$343,120	$343,120	$343,120	$343,120	$343,120	$343,120	$343,120	$2,755,700

For items 1-16 assuming 11% interest over 7 year lease.

All costs assume 1988 dollars.

Estimates are based on a turn-key configuration.

Costs do not include management Services Department support charges, line charges or departmental equipment

APPENDIX 10

Proposed 1990-1991 Backlog Reduction
of Inactive Records
In Departmental Offices

Department	Required Staff	Records Analysts	Clerical Staff	File Inches	Maps	Estimated Review Days	Estimated Processing Days	Total Days	Clerical Salary	Analyst Salary	Total Salary
*LEGAL	4	2	2	6135		100	32	132	21122.64	31656.24	52778.88
MSD-CENTRAL MAPPING	2	1	1		6786	37	13	50	400.5	5995.5	9996
PARKS & PROPERTY	2	1	1	3341	2273	37	13	50	4000.5	5995.5	9996
*PERSONNEL	4	2	2	1882		22	8	30	4800.6	7194.6	11995.2
*ROADS & TRAFFIC	4	2	2	1441	18271	100	32	132	21122.64	31656.24	52778.88
TREASURY	4	2	2	6548		40	20	60	9601.2	14389.2	23990.4
WORKS	4	2	2	3286	582	37	13	50	8001	11991	19992
TOTAL				22633	27912	373	131	504	72649.08	108878.28	181527.36

1988 rates
Records Analyst: EM1
Clerk Grade 3

*Departments with substantial amounts of files which should be moved to inactive storage or destroyed.

Total $206940.78

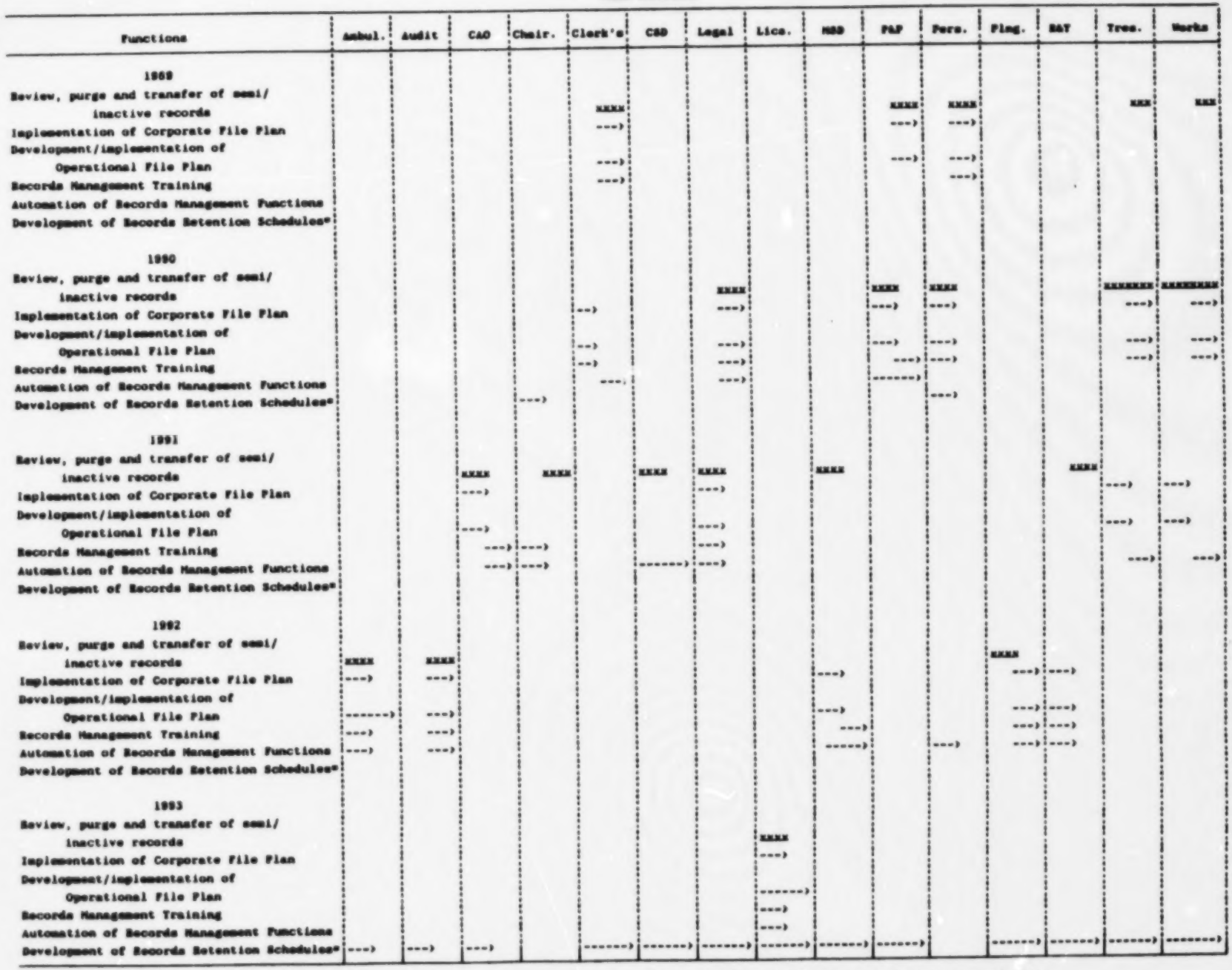
Adjusted for January 1, 1990 (14% increase over 1988)

The 1990 expenditure is $ 68,970.00
The 1991 expenditure is $137,970.00 (plus inflationary adjustment)

PREPARING FOR METRO HALL

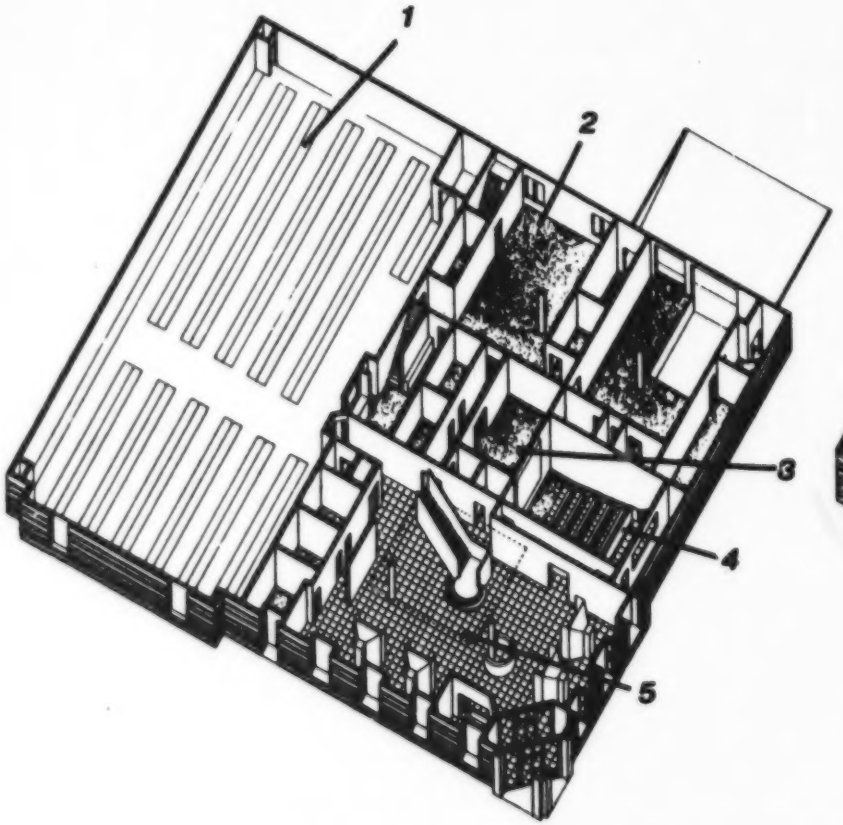
WORK SCHEDULE

APPENDIX II



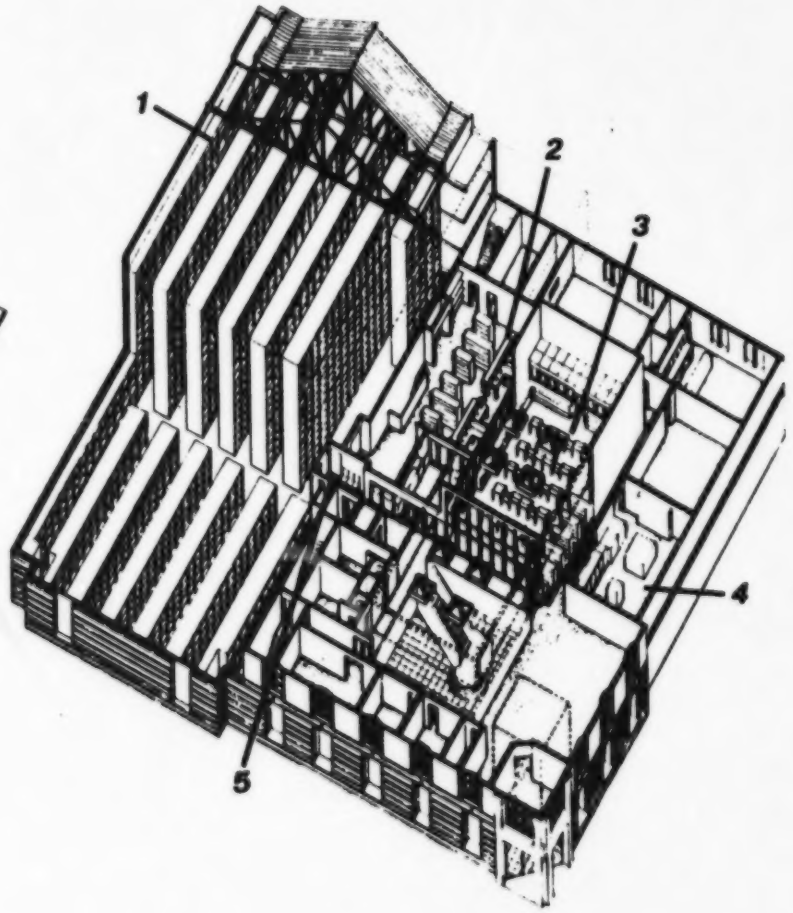
* Retention schedules should be used until automation and transfer of inactive records to Archives and Records Centre has been completed.

METROPOLITAN TORONTO ARCHIVES AND RECORDS CENTRE



GROUND FLOOR

1. Records Storage
2. Records Processing
3. Exhibit Storage
4. Auditorium
5. Atrium/Exhibit Space



SECOND FLOOR

1. Highrise Bin System
2. Archival Work Stations
3. Research Room
4. Conservation Lab
5. Cantilevered Viewing Gallery